

PTO/SB/82 (09-04)  
Approved for use through 11/30/2005. OMB 0851-0035

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U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

<b>REVOCATION OF POWER OF ATTORNEY WITH NEW POWER OF ATTORNEY AND CHANGE OF CORRESPONDENCE ADDRESS</b>	Application Number	09/292,662
	Filing Date	April 15, 1999
	First Named Inventor	Charles L. Mauro
	Art Unit	3623
	Examiner Name	Romain Jeanty
	Attorney Docket Number	74577-070

I hereby revoke all previous powers of attorney given in the above-identified application.

☐ A Power of Attorney is submitted herewith.

OR

☒ I hereby appoint the practitioners associated with the Customer Number: **21890**

☒ Please change the correspondence address for the above-identified application to:

☒ The address associated with Customer Number: **21890**

OR


<input type="checkbox"/> Firm or Individual Name				
Address				
City		State		Zip
Country				
Telephone		Fax		

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71. Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

**SIGNATURE of Applicant or Assignee of Record**

Signature			
Name	Gregg I. Goldman, Director and Senior Counsel, Technology and Intellectual Property, UBS AG, Stamford Branch		
Date	January 14, 2005	Telephone	203.719.3088

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☒ Total of **0** forms are submitted.

This collection of information is required by 37 CFR 1.36. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 3 minutes to complete, on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1460, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

JAN-14-2005 15:29 FROM:UBS

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TO:RightFAX

P.3/5

PTO/SB/06 (03-04)

Approved for use through 07/31/2006. OMB 0851-0031  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Charles L. Mauro et al.Application No./Patent No.: 09/292,552 Filed/Issue Date: April 15, 1999Entitled: **COMPUTER TRADING SYSTEM METHOD AND INTERFACE**UBS AGCorporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
- OR
- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: Charles L. Mauro and Walter D. Bulst To: Wit Capital Corporation  
The document was recorded in the United States Patent and Trademark Office at  
Reel 8918 Frame 0267 or for which a copy thereof is attached.
2. From: Andrew D. Klein To: Wit Capital Corporation  
The document was recorded in the United States Patent and Trademark Office at  
Reel 009928 Frame 0775 or for which a copy thereof is attached.
3. From: Wit Capital Corporation To: Charles Schwab & Co., Inc.  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_ Frame \_\_\_\_\_ or for which a copy thereof is attached.

☒ Additional documents in the chain of title are listed on a supplemental sheet.☒ Copies of assignments or other documents in the chain of title are attached.

(NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.06]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Gregg I. Goldman

Signature

January 14, 2005

Date

203.719.3099

Telephone Number

Printed or Typed Name

Director and Senior Counsel, Technology and  
Intellectual Property, UBS AG, Stamford Branch

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to the (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-8199 and select option 2.

Serial No. 09/292,552

Statement Under 37 CFR 3.73 (b)

B. Supplemental Sheet for additional documents in the chain of title.

4. From: Charles Schwab & Co. Inc. To: Schwab Capital Markets, L.P.  
The document was recorded in the United States Patent and Trademark Office at  
Reel, 015292, Frame 0377, or for which a copy thereof is attached.
5. From: Schwab Capital Markets, L.P. To: UBS Capital Markets L.P.  
The document was recorded in the United States Patent and Trademark Office at  
Reel, \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
6. From: UBS Capital Markets L.P. To: UBS AG  
The document was recorded in the United States Patent and Trademark Office at  
Reel, \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

**Arias, Juan**

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**From:** EPAS Server [epas-server@uspto.gov]  
**Sent:** Thursday, January 13, 2005 5:18 PM  
**To:** Arias, Juan  
**Subject:** Assignment confirmation receipt ID: PAT19234



EASPAT19234.html  
(4 KB)

**ELECTRONIC PATENT ASSIGNMENT SYSTEM (EPAS) CONFIRMATION RECEIPT**

The USPTO has received a Patent Assignment submitted through the Electronic Patent Assignment System (EPAS). This is the only acknowledgement of receipt that will be transmitted for this EPAS submission. The submission may not be recalled.

After review by Assignment Services Division personnel a Notice of Recordation/Non-Recordation will be returned via fax. USPTO will attempt to fax to the number provided in the submission; fax failures will be delivered via US Postal Service to the Correspondence Address provided in the submission.

If a communication from the Assignment Services Division has not been received within 60 days of your confirmation receipt contact the Assignment Services Division Customer Service Desk at 703-308-9723 or send an e-mail to [epas@uspto.gov](mailto:epas@uspto.gov).

If you have a technical question, comment or concern about your EPAS submission call 703-308-9723 during business hours or e-mail to [epas@uspto.gov](mailto:epas@uspto.gov). Please have your EPAS receipt ID which is 'EASPAT19234' available when calling or writing for assistance.

A printable version of the Confirmation Receipt is attached to this e-mail.

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Electronic Assignment Server at <http://epas.uspto.gov>

## PATENT ASSIGNMENT

Electronic Version v1.1  
Stylesheet Version v1.1

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	CHANGE OF NAME
CONVEYING PARTY DATA	
Name	Execution Date
Schwab Capital Markets L.P.	10/29/2004
RECEIVING PARTY DATA	
Name:	UBS Capital Markets L.P.
Street Address:	111 Pavonia Avenue East
City:	Jersey City
State/Country:	NEW JERSEY
Postal Code:	07310
PROPERTY NUMBERS Total: 4	
Property Type	Number
Application Number:	09292552
Application Number:	10666817
Application Number:	09845224
Patent Number:	6408282
CORRESPONDENCE DATA	
Fax Number:	(212)969-2900
<i>Correspondence will be sent via US Mail when the fax attempt is unsuccessful.</i>	
Phone:	212.969.4138
Email:	jarias@proskauer.com

**Correspondent Name:** Juan C. Arias  
**Address Line 1:** 1585 Broadway  
**Address Line 2:** Proskauer Rose LLP  
**Address Line 4:** New York, NEW YORK 10036

<b>NAME OF SUBMITTER:</b>	Juan C. Arias
---------------------------	---------------

<b>Signature:</b>	/Juan C. Arias/
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<b>Date:</b>	01/13/2005
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**Total Attachments: 3**  
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**RECEIPT INFORMATION**

**EPAS ID:** PAT19234  
**Receipt Date:** 01/13/2005  
**Fee Amount:** \$160

DIVISION OF REVENUE

Fax: 609-984-6708

Nov 1 2004 16:49

P.02

NOV. 1. 2004 9:42AM

CSC

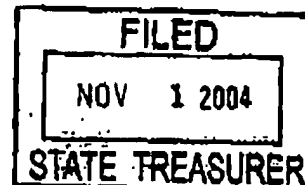
Nov 1 2004 8:42

NO.054

RST

AMENDED AND RESTATED  
LIMITED PARTNERSHIP CERTIFICATE  
OF  
SCHWAB CAPITAL MARKETS L.P.

(Pursuant to N.J.S.A. 42:2A-17)



The undersigned, desiring to amend and restate the Limited Partnership Certificate of Schwab Capital Markets L.P. to change its name and general partner pursuant to the Revised Uniform Limited Partnership Act as in effect in the State of New Jersey, does hereby certify as follows:

1. The name of the limited partnership is UBS Capital Markets L.P. (the "Partnership"). The name under which the original limited partnership was formed was Schwab Capital Markets L.P. The date of the filing of the original certificate was January 28, 2000.

2. The Partnership will engage in the financial services business and may engage in any activity for which limited partnerships may be organized under the laws of the State of New Jersey.

3. The address of the original registered office of the Partnership is c/o Corporation Service Company, 830 Bear Tavern Road, West Trenton, New Jersey 08628. The Partnership's original registered agent at that address is Corporation Service Company.

4. The name and business address of the general partner of the Partnership (the "General Partner") is as follows:

UBS Americas Inc.  
677 Washington Blvd.  
Stamford, CT 06901

5. The initial cash contribution by the General Partner was \$100.00. The initial cash contribution by the Limited Partner was \$900.00. Thereafter, the General Partner shall contribute an amount of cash equal to one percent (1%) of the aggregate Capital Contributions of the Partners; provided, however, that the General Partner shall not make any contribution with respect to the aggregate Capital Contributions made in exchange for Preferred Limited Partnership Interests in the Partnership, and the Limited Partners shall contribute an amount of cash or other property equal to ninety-nine percent (99%) of the aggregate Capital Contributions of the Partners, which percentage shall be determined without reference to the contributions made in exchange for Preferred Limited Partnership Interests in the Partnership.

6. Except as otherwise required by law or as specified in Paragraph 5, no Partner has agreed, nor shall any partner be obligated to make any additional capital contributions to the Partnership.

7. An assignee of a Limited Partner shall become a limited partner only with the consent of all other Partners.

8. No Partner may resign or withdraw from the Partnership except upon the written consent of all other Partners.

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DIVISION OF REVENUE Fax:609-984-6708

Nov 1 2004 16:49 P.03

Nov 1 2004 8:42

NOV. 1.2004 9:42AM

CSC

NO.054 P.3/4

9. Distributions of cash or property shall be made from the Partnership to the Partners at such times as the General Partner may determine.

10. The Partnership shall be dissolved upon the earliest to occur of the following events:

(i) The written consent of all the Partners; or

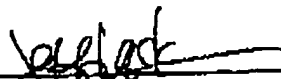
(ii) The withdrawal, death, legal incapacity, removal, dissolution or bankruptcy, or the occurrence of any other event or withdrawal of the General Partner unless at the time of such withdrawal there is at least one remaining General Partner and within ninety days after such withdrawal the remaining Partners agree in writing to continue the business of the Partnership, provided that, if at the time of such withdrawal there are no General Partners remaining, the Partnership is not dissolved and is not required to be wound up by reason of any event of withdrawal if within ninety days after the occurrence of such event, all Partners other than the withdrawn General Partner agree in writing to continue the business of the Partnership and to the appointment, effective as of the date of such event, of one or more substitute or additional general partners of the Partnership.

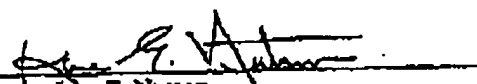
11. The address of the principal office of the Partnership is:

111 Pavonia Avenue East  
Jersey City, New Jersey 07310

IN WITNESS WHEREOF, the undersigned has executed this Amended and Restated Certificate of Limited Partnership as of October 29, 2004.

UBS AMERICAS INC.,  
General Partner

  
Name: J. H. Laska  
Title: Vice President

  
Name: Jane E. Nutson  
Title: Assistant Secretary



DIVISION OF REVENUE Fax:609-984-6708

Nov 1 2004 16:50 P.04

Nov 1 2004 8:42

NOV. 1, 2004 9:43AM CSC

NO. 054 P.4/4

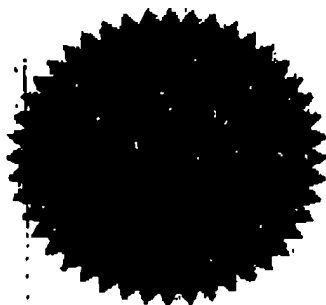
STATE OF NEW JERSEY  
DEPARTMENT OF TREASURY  
NAME RESERVATION

UBS CAPITAL MARKETS L.P.

*I, the Treasurer of the State of New Jersey,  
do hereby certify that the above mentioned business  
name has been reserved through January 27th, 2005.  
This action has been completed in accordance with New  
Jersey's laws governing name availability and name  
reservation/registration.*

*This name has been reserved for:*  
Corporation Service Company  
830 Bear Tavern Road  
West Trenton, NJ 08628

IN TESTIMONY WHEREOF, I have  
hereunto set my hand and  
affixed my Official Seal  
at Trenton, this  
29th day of September, 2004



John E. McCormac, CPA  
State Treasurer

*Note: Legal authority for this reservation/registration is based upon  
the business type involved. (Title 14A -- for-profit domestic and  
foreign corporations. Title 15A -- non-profit domestic and foreign  
corporations. Title 42:2A -- foreign and domestic limited partnerships.  
Title 42:2b -- limited liability companies).*

Arias, Juan

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**From:** EPAS Server [epas-server@uspto.gov]  
**Sent:** Friday, January 14, 2005 1:54 PM  
**To:** Arias, Juan  
**Subject:** Assignment confirmation receipt ID: PAT19317



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**ELECTRONIC PATENT ASSIGNMENT SYSTEM (EPAS) CONFIRMATION RECEIPT**

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A printable version of the Confirmation Receipt is attached to this e-mail.

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Electronic Assignment Server at <http://epas.uspto.gov>

## PATENT ASSIGNMENT

Electronic Version v1.1  
Stylesheet Version v1.1

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
UBS Capital Markets L.P.	01/14/2005
RECEIVING PARTY DATA	
Name:	UBS AG
Street Address:	G-409 Szthroe Talstrasse 83
City:	Zurich
State/Country:	SWITZERLAND
Postal Code:	8001
PROPERTY NUMBERS Total: 4	
Property Type	Number
Application Number:	09292552
PCT Number:	US0329537
Application Number:	10666817
Application Number:	09845224
CORRESPONDENCE DATA	
Fax Number:	(212)969-2900
<i>Correspondence will be sent via US Mail when the fax attempt is unsuccessful.</i>	
Phone:	212.969.4138
Email:	jarias@proskauer.com

Correspondent Name: Juan C. Arias  
Address Line 1: 1585 Broadway  
Address Line 2: Proskauer Rose LLP  
Address Line 4: New York, NEW YORK 10036

**DOMESTIC REPRESENTATIVE**

Name:  
Address Line 1:  
Address Line 2:  
Address Line 3:  
Address Line 4:

**NAME OF SUBMITTER:**

Juan C. Arias

**Signature:**

/Juan C. Arias/

**Date:**

01/14/2005

Total Attachments: 8  
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**RECEIPT INFORMATION**

EPAS ID: PAT19317  
Receipt Date: 01/14/2005  
Fee Amount: \$160

Attorney Docket No.: 74577-070

**ASSIGNMENT OF PATENT APPLICATION**

For value received, the undersigned sell(s), assign(s) and transfer(s) a 100 % interest to:

**UBS AG**

a corporation organized under the laws of: **Switzerland**  
and having a place of business at: **G-409 Szbroe Talstrasse 83,  
8001 Zürich, Switzerland**

to its successors, assigns and legal representatives or nominees as it may designate (collectively, hereinafter, "Assignee"), the entire right, title and interest, for:

☐ The United States of America and Its Territories and Commonwealth and Possessions ☒ All countries throughout the world

in and to all inventions and improvements disclosed in an application for United States Patent entitled:

**COMPUTER TRADING SYSTEM, METHOD AND INTERFACE**

The above-entitled United States Patent application was:

☐ executed by the undersigned on: \_\_\_\_\_  
☒ filed in the United States Patent and Trademark Office on: April 15, 1999  
and assigned serial number: 09/292,552  
☐ filed as PCT International Application No.: \_\_\_\_\_  
on: \_\_\_\_\_

The undersigned assign(s) to Assignee the rights for all patents, divisions, reissues, reexamination certificates, continuing applications and extensions thereof, which may be granted based on the above patent application, together with the right of priority of any earlier corresponding patent application filed by the undersigned in the United States or elsewhere.

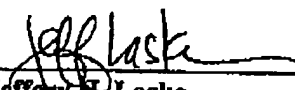
The undersigned covenant(s) that the rights and property conveyed by this Assignment are free and clear of any encumbrance, and that the undersigned have (has) full right to convey the rights and property as expressed herein.

Attorney Docket No.: 74577-070

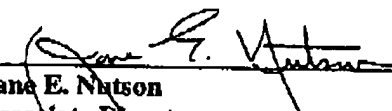
The undersigned authorize(s) and request(s) that any and all patents on the aforesaid inventions be issued to Assignee.

The undersigned agree(s), when requested, without further charge to Assignee but at its expense, to communicate to Assignee or its representatives all facts known to the undersigned regarding the aforesaid inventions and improvements, testify in any legal proceeding, sign all papers, make all rightful oaths or declarations, execute all divisional, continuing, re-examination and reissue applications and generally perform all acts, which may be necessary, desirable or convenient, to aid Assignee in securing, maintaining and enforcing patents for the aforesaid inventions and improvements in the aforesaid countries, and for vesting title thereto in Assignee.

Date: 14 January 2005

  
Jeffrey H. Laska  
Director and Assistant Secretary  
UBS Americas Inc.  
as General Partner of  
UBS Capital Markets L.P.

Date: 14 January 2005

  
Jane E. Nutson  
Associate Director  
and Assistant Secretary  
UBS Americas Inc.  
as General Partner of  
UBS Capital Markets L.P.

Attorney Docket No.: 74577-077

**ASSIGNMENT OF PATENT APPLICATION**

For value received, the undersigned sell(s), assign(s) and transfer(s) a 100 % interest to:

**UBS AG**

a corporation organized under the laws of: **Switzerland**  
and having a place of business at: **G-409 Szhroe Talstrasse 83,  
8001 Zürich, Switzerland**

to its successors, assigns and legal representatives or nominees as it may designate (collectively, hereinafter, "Assignee"), the entire right, title and interest, for:

— The United States of America and Its Territories and Commonwealth and Possessions      X All countries throughout the world

in and to all inventions and improvements disclosed in an application for United States Patent entitled:

**SYSTEM AND METHOD FOR MESSAGE COMMUNICATION**

The above-entitled United States Patent application was:

— executed by the undersigned on: \_\_\_\_\_  
— filed in the United States Patent and Trademark Office on: \_\_\_\_\_  
and assigned serial number: \_\_\_\_\_  
X filed as PCT International Application No.: PCT/US03/29537  
on: September 17, 2003

The undersigned assign(s) to Assignee the rights for all patents, divisions, reissues, reexamination certificates, continuing applications and extensions thereof, which may be granted based on the above patent application, together with the right of priority of any earlier corresponding patent application filed by the undersigned in the United States or elsewhere.

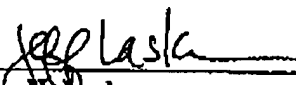
The undersigned covenant(s) that the rights and property conveyed by this Assignment are free and clear of any encumbrance, and that the undersigned have (has) full right to convey the rights and property as expressed herein.

Attorney Docket No.: 74577-077

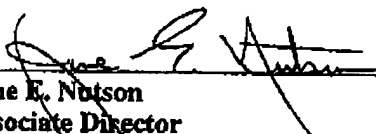
The undersigned authorize(s) and request(s) that any and all patents on the aforesaid inventions be issued to Assignee.

The undersigned agree(s), when requested, without further charge to Assignee but at its expense, to communicate to Assignee or its representatives all facts known to the undersigned regarding the aforesaid inventions and improvements, testify in any legal proceeding, sign all papers, make all rightful oaths or declarations, execute all divisional, continuing, re-examination and reissue applications and generally perform all acts, which may be necessary, desirable or convenient, to aid Assignee in securing, maintaining and enforcing patents for the aforesaid inventions and improvements in the aforesaid countries, and for vesting title thereto in Assignee.

Date: 14 January 2005

  
Jeffery N. Laska  
Director and Assistant Secretary  
UBS Americas Inc.  
as General Partner of  
UBS Capital Markets L.P.

Date: 14 January 2005

  
Jane E. Nibson  
Associate Director  
and Assistant Secretary  
UBS Americas Inc.  
as General Partner of  
UBS Capital Markets L.P.



Attorney Docket No.: 74577-077

**ASSIGNMENT OF PATENT APPLICATION**

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**UBS AG**

a corporation organized under the laws of: **Switzerland**  
and having a place of business at: **G-409 Szthroe Talstrasse 83,**  
**8001 Zürich, Switzerland**

to its successors, assigns and legal representatives or nominees as it may designate (collectively, hereinafter, "Assignee"), the entire right, title and interest, for:

— The United States of America and Its Territories and Commonwealth and Possessions      X All countries throughout the world

in and to all inventions and improvements disclosed in an application for United States Patent entitled:

**SYSTEM AND METHOD FOR MESSAGE COMMUNICATION**

The above-entitled United States Patent application was:

— executed by the undersigned on: \_\_\_\_\_  
X filed in the United States Patent and Trademark Office on: September 17, 2003  
and assigned serial number: 10/666,817  
— filed as PCT International Application No.: \_\_\_\_\_  
on: \_\_\_\_\_

The undersigned assign(s) to Assignee the rights for all patents, divisions, reissues, reexamination certificates, continuing applications and extensions thereof, which may be granted based on the above patent application, together with the right of priority of any earlier corresponding patent application filed by the undersigned in the United States or elsewhere.

The undersigned covenant(s) that the rights and property conveyed by this Assignment are free and clear of any encumbrance, and that the undersigned have (has) full right to convey the rights and property as expressed herein.

Attorney Docket No.: 74577-077


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Date: 14 January 2005

  
Jeffery H. Laska  
Director and Assistant Secretary  
UBS Americas Inc.  
as General Partner of  
UBS Capital Markets L.P.

Date: 14 January 2005

  
Jane E. Nutson  
Associate Director  
and Assistant Secretary  
UBS Americas Inc.  
as General Partner of  
UBS Capital Markets L.P.

Attorney Docket No.: 74577-078

**ASSIGNMENT OF PATENT APPLICATION**

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**UBS AG**

a corporation organized under the laws of: **Switzerland**  
and having a place of business at: **G-409 Szhröe Talstrasse 83,  
8001 Zürich, Switzerland**

to its successors, assigns and legal representatives or nominees as it may designate (collectively, hereinafter, "Assignee"), the entire right, title and interest, for:

☐ The United States of America and  
Its Territories and Commonwealth  
and Possessions ☒ All countries  
throughout the world

in and to all inventions and improvements disclosed in an application for United States Patent entitled:

**METHOD AND APPARATUS FOR AUCTIONING SECURITIES**

The above-entitled United States Patent application was:

☐ executed by the undersigned on: \_\_\_\_\_  
☒ filed in the United States Patent and Trademark Office on: April 30, 2001  
and assigned serial number: 09/845,224  
☐ filed as PCT International Application No.: \_\_\_\_\_  
on: \_\_\_\_\_

The undersigned assign(s) to Assignee the rights for all patents, divisions, reissues, reexamination certificates, continuing applications and extensions thereof, which may be granted based on the above patent application, together with the right of priority of any earlier corresponding patent application filed by the undersigned in the United States or elsewhere.

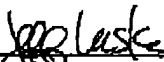
The undersigned covenant(s) that the rights and property conveyed by this Assignment are free and clear of any encumbrance, and that the undersigned have (has) full right to convey the rights and property as expressed herein.

Attorney Docket No.: 74577-078

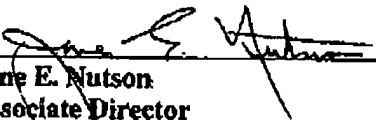
The undersigned authorize(s) and request(s) that any and all patents on the aforesaid inventions be issued to Assignee.

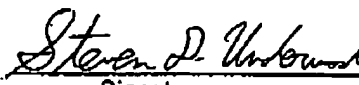
The undersigned agree(s), when requested, without further charge to Assignee but at its expense, to communicate to Assignee or its representatives all facts known to the undersigned regarding the aforesaid inventions and improvements, testify in any legal proceeding, sign all papers, make all rightful oaths or declarations, execute all divisional, continuing, re-examination and reissue applications and generally perform all acts, which may be necessary, desirable or convenient, to aid Assignee in securing, maintaining and enforcing patents for the aforesaid inventions and improvements in the aforesaid countries, and for vesting title thereto in Assignee.

Date: 14 January 2005

  
\_\_\_\_\_  
Jeffrey H. Laska  
Director and Assistant Secretary  
UBS Americas Inc.  
as General Partner of  
UBS Capital Markets L.P.

Date: 14 January 2005

  
\_\_\_\_\_  
Jane E. Nutson  
Associate Director  
and Assistant Secretary  
UBS Americas Inc.  
as General Partner of  
UBS Capital Markets L.P.

<b>FORM PTO-1595</b> (Rev. 6-93) Office		<b>U.S. DEPARTMENT OF COMMERCE</b> Patent and Trademark	
<b>RECORDATION FORM COVER SHEET</b> <b>PATENTS ONLY</b> Attorney Docket No.: 061162-006 (formerly 9628-006) <b>EXPRESS MAIL NO. EU 618 751 580 US</b>			
To the Commissioner for Patents Please record the attached original documents or copy thereof.		<b>ATTN: MAIL STOP ASSIGNMENT RECORDATION SERVICES</b>	
1. Name of conveying parties:  <p style="text-align: center;"><b>Wit Capital Corporation</b></p>		2. Name and address of receiving party(ies):  Name: <b>Charles Schwab &amp; Co., Inc.</b>  <b>101 Montgomery Street</b> <b>San Francisco, CA 94104</b>	
3. Nature of conveyance:  <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other Execution Date: <b>July 13, 2004</b>		Additional name(s) & address(es) attached?  <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
4. Application number(s) or patent number(s):  If this document is being filed together with a new application the execution date of the application is: A. Patent Application No.(s): <b>09/292,552</b> B. Patent No.(s): <b>6,408,282</b> Additional numbers attached: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
5. Name and address of party to whom correspondence concerning document should be mailed:  Name: <b>Steven D. Underwood</b>  Internal Address: <b>Morgan, Lewis &amp; Bockius LLP</b> <b>Customer No. 09629</b>  Street Address: <b>1111 Pennsylvania Ave., N.W.</b> City: <b>Washington</b> State: <b>D.C.</b> Zip: <b>20004</b>		6. Total number of applications and patents involved: <p style="text-align: center;"><b>2</b></p> 7. Total fee (37 C.F.R. §3.41): <b>\$80.00</b> <input type="checkbox"/> Enclosed <input checked="" type="checkbox"/> Authorized to be charged to Deposit Account 50-0310	
8. Deposit Account No. <b>50-0310</b> (Attach duplicate page if paying by deposit account)			
9. Statement and Signature To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.			
<u><b>Steven D. Underwood (47.205)</b></u> Name of Person Signing		 Signature	
		<u><b>July 14, 2004</b></u> Date	
Total number of pages including cover sheet, attachments and documents: <b>3</b>			

**ASSIGNMENT OF INTELLECTUAL PROPERTY**

This Assignment is made on this 13<sup>th</sup> day of July, 2004 by and between Wit Capital Corporation ("Assignor"), and Charles Schwab & Co. Inc. ("Assignee").

WHEREAS, Assignor wishes to assign Intellectual Property identified on the attached Schedule to Assignee, and Assignee wishes to accept the assignment of such Intellectual Property.

NOW THEREFORE, for good and valuable consideration the receipt of which is hereby acknowledged, Assignor hereby sells, assigns, transfers, and sets over unto the Assignee, its lawful successors and assigns, effective as of the date hereof, all right, title, and interest in and to the Intellectual Property, and all division, and continuations thereof, and all Letters Patent of the United States which may be granted thereon, and all reissues thereof, and all rights to claim priority on the basis of such applications, and all applications for Letters Patent which may hereafter be filed for this invention in any foreign country and all Letters Patent which may be granted on this invention in any foreign country, and all extensions, renewals, and reissues thereof; and hereby authorize and request the Commissioner of Patents and Trademarks of the United States and any official of any foreign country whose duty it is to issue patents on applications as described above, to issue all Letters Patent of this invention to Assignee, its successors and assigns, in accordance with the terms of this Assignment, including the right to seek and obtain for Assignees' own benefit injunctive relief and recovery of damages for any past and/or future infringements, including enhanced damages and/or attorney's fees for willful infringement. Assignor covenants with Assignee, its successors and assigns, that the rights, title and interest in and to the Intellectual Property herein conveyed are free and clear of any encumbrance, that no assignment, sale, or agreement has been or will be made or entered into which would conflict with this Assignment and that Assignor has the full right to convey the same as herein expressed.

IN WITNESS WHEREOF, Assignor and Assignee have caused this Intellectual Property Assignment to be executed as set forth below. The undersigned (whose title appears below) is empowered to sign this Assignment on behalf of the Assignor.

ASSIGNOR: Wit Capital Corporation

By: 

Name: GERARD P. MAUS

Title: Chief Financial Officer

**Schedule**

<b>U.S. Application or Patent Number</b>	<b>Filing Date</b>	<b>First-Named Inventor</b>	<b>Title</b>
09/292,552	15 APR 99	Mauro et al.	Computer Trading System, Method and Interface
6,408,282	15 APR 99	Buist	System and Method for Conducting Securities Transactions over a Computer Network